

#2813

TRANSMITTAL FORM

Application Serial Number	10/022,689
Filing Date	December 17, 2001
First Named Inventor	Fitzgerald
Group Art Unit	2813
Examiner Name	Laura M. Schillinger
Attorney Docket No.	ASC-023DVC2
Patent No.	Not applicable
Issue Date	Not applicable

ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form <input checked="" type="checkbox"/> Check Attached <input type="checkbox"/> Copy of Fee Transmittal Form <input type="checkbox"/> Amendment/Response <input type="checkbox"/> Preliminary <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Letter to Official Draftsperson including Drawings [Total Sheets _____] <input type="checkbox"/> Petition for Extension of Time <input checked="" type="checkbox"/> Supplemental Information Disclosure Statement <input checked="" type="checkbox"/> Form PTO-1449 <input checked="" type="checkbox"/> Copies of IDS Citations <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Sequence Listing submission <input type="checkbox"/> Paper Copy/CD <input type="checkbox"/> Computer Readable Copy <input type="checkbox"/> Statement verifying identity of above	<input type="checkbox"/> Copy of Notice to File Missing Parts of Application <input type="checkbox"/> Formal Drawing(s) <input type="checkbox"/> Request For Continued Examination (RCE) Transmittal <input type="checkbox"/> Power of Attorney (Revocation of Prior Powers) <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Executed Declaration and Power of Attorney for Utility or Design Patent Application <input type="checkbox"/> Small Entity Statement <input type="checkbox"/> CD(s) for large table or computer program <input type="checkbox"/> Amendment After Allowance <input type="checkbox"/> Request for Certificate of Correction <input type="checkbox"/> Certificate of Correction (in duplicate)	<input type="checkbox"/> Notice of Appeal to Board of Patent Appeals and Interferences <input type="checkbox"/> Appeal Brief (in triplicate) <input type="checkbox"/> Status Inquiry <input checked="" type="checkbox"/> Return Receipt Postcard <input checked="" type="checkbox"/> Certificate of First Class Mailing under 37 C.F.R. 1.8 <input type="checkbox"/> Certificate of Facsimile Transmission under 37 C.F.R. 1.8 <input type="checkbox"/> Additional Enclosure(s) (please identify below) <div>RECEIVED AUG 29 2003 TSCC MAIL ROOM</div>
--	---	---

CORRESPONDENCE ADDRESS

Direct all correspondence to: Patent Administrator
Testa, Hurwitz & Thibault, LLP
High Street Tower
125 High Street
Boston, MA 02110
Tel. No.: (617) 248-7000
Fax No.: (617) 248-7100

SIGNATURE BLOCK

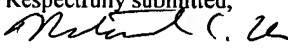
Respectfully submitted,

Date: August 21, 2003
Reg. No. 44,381
Tel. No.: (617) 310-8327
Fax No.: (617) 248-7100

Natasha C. Us
Attorney for the Applicant
Testa, Hurwitz & Thibault, LLP
High Street Tower
125 High Street
Boston, MA 02110



<i>Complete if Known</i>	
Application Serial Number	10/022,689
Filing Date	December 17, 2001
First Named Inventor	Fitzgerald
Group Art Unit	2813
Examiner Name	Laura M. Schillinger
Attorney Docket No.	ASC-023DVC2

METHOD OF PAYMENT				FEE CALCULATION (continued)																																																																																							
1. <input checked="" type="checkbox"/> Payment Enclosed: <input checked="" type="checkbox"/> Check <input type="checkbox"/> Money Order <input type="checkbox"/> Other				3. ADDITIONAL FEES <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;">Large Entity Fee (\$)</th> <th style="text-align: left;">Small Entity Fee (\$)</th> <th style="text-align: left;">Fee Description</th> <th style="text-align: left;">Fee Paid</th> </tr> </thead> <tbody> <tr><td>130</td><td>65</td><td>Surcharge - late filing fee or oath</td><td></td></tr> <tr><td>50</td><td>25</td><td>Surcharge - late provisional filing fee or cover sheet</td><td></td></tr> <tr><td>130</td><td>130</td><td>Non-English specification</td><td></td></tr> <tr><td>2,520</td><td>2,520</td><td>Request for ex parte reexamination</td><td></td></tr> <tr><td>110</td><td>55</td><td>Extension for reply within first month</td><td></td></tr> <tr><td>410</td><td>205</td><td>Extension for reply within second month</td><td></td></tr> <tr><td>930</td><td>465</td><td>Extension for reply within third month</td><td></td></tr> <tr><td>1450</td><td>725</td><td>Extension for reply within fourth month</td><td></td></tr> <tr><td>1970</td><td>985</td><td>Extension for reply within fifth month</td><td></td></tr> <tr><td>320</td><td>160</td><td>Notice of Appeal</td><td></td></tr> <tr><td>320</td><td>160</td><td>Filing a brief in support of an appeal</td><td></td></tr> <tr><td>280</td><td>140</td><td>Request for oral hearing</td><td></td></tr> <tr><td>130</td><td>130</td><td>Petitions to the Commissioner</td><td></td></tr> <tr><td>180</td><td>180</td><td>Submission of Information Disclosure Statement</td><td>180.00</td></tr> <tr><td>750</td><td>375</td><td>Filing a submission after final rejection (37 CFR 1.129(a))</td><td></td></tr> <tr><td>750</td><td>375</td><td>For each additional invention to be examined (37 CFR 1.129(b))</td><td></td></tr> <tr><td>100</td><td>100</td><td>Certificate of Correction for applicant's error</td><td></td></tr> <tr><td>110</td><td>55</td><td>Submission of Terminal Disclaimer</td><td></td></tr> <tr><td colspan="3">Other fee (Specify)</td><td></td></tr> <tr><td colspan="3">Other fee (Specify)</td><td></td></tr> </tbody> </table> </div> <div style="width: 50%; text-align: center;"> <div style="writing-mode: vertical-rl; transform: rotate(180deg);"> RECEIVED AUG 29 2003 TC 2600 MAIL ROOM </div> </div> </div>				Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	Fee Paid	130	65	Surcharge - late filing fee or oath		50	25	Surcharge - late provisional filing fee or cover sheet		130	130	Non-English specification		2,520	2,520	Request for ex parte reexamination		110	55	Extension for reply within first month		410	205	Extension for reply within second month		930	465	Extension for reply within third month		1450	725	Extension for reply within fourth month		1970	985	Extension for reply within fifth month		320	160	Notice of Appeal		320	160	Filing a brief in support of an appeal		280	140	Request for oral hearing		130	130	Petitions to the Commissioner		180	180	Submission of Information Disclosure Statement	180.00	750	375	Filing a submission after final rejection (37 CFR 1.129(a))		750	375	For each additional invention to be examined (37 CFR 1.129(b))		100	100	Certificate of Correction for applicant's error		110	55	Submission of Terminal Disclaimer		Other fee (Specify)				Other fee (Specify)			
Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	Fee Paid																																																																																								
130	65	Surcharge - late filing fee or oath																																																																																									
50	25	Surcharge - late provisional filing fee or cover sheet																																																																																									
130	130	Non-English specification																																																																																									
2,520	2,520	Request for ex parte reexamination																																																																																									
110	55	Extension for reply within first month																																																																																									
410	205	Extension for reply within second month																																																																																									
930	465	Extension for reply within third month																																																																																									
1450	725	Extension for reply within fourth month																																																																																									
1970	985	Extension for reply within fifth month																																																																																									
320	160	Notice of Appeal																																																																																									
320	160	Filing a brief in support of an appeal																																																																																									
280	140	Request for oral hearing																																																																																									
130	130	Petitions to the Commissioner																																																																																									
180	180	Submission of Information Disclosure Statement	180.00																																																																																								
750	375	Filing a submission after final rejection (37 CFR 1.129(a))																																																																																									
750	375	For each additional invention to be examined (37 CFR 1.129(b))																																																																																									
100	100	Certificate of Correction for applicant's error																																																																																									
110	55	Submission of Terminal Disclaimer																																																																																									
Other fee (Specify)																																																																																											
Other fee (Specify)																																																																																											
FEE CALCULATION				SUBTOTAL (3) (\$ 180.00)																																																																																							
1. FILING FEE <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;">Large Entity Fee (\$)</th> <th style="text-align: left;">Fee Description</th> <th style="text-align: left;">Fee Paid</th> </tr> </thead> <tbody> <tr><td>750</td><td>Utility filing fee</td><td></td></tr> <tr><td>330</td><td>Design filing fee</td><td></td></tr> <tr><td>160</td><td>Provisional filing fee</td><td></td></tr> </tbody> </table> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;">Number Filed</th> <th style="text-align: left;">Number Extra</th> <th style="text-align: left;">Rate</th> <th style="text-align: left;">Amount</th> </tr> </thead> <tbody> <tr> <td>Total Claims - 20 =</td> <td></td> <td>x \$ 18.00 =</td> <td></td> </tr> <tr> <td>Independent Claims - 3 =</td> <td></td> <td>x \$ 84.00 =</td> <td></td> </tr> <tr> <td colspan="2"><input type="checkbox"/> Multiple Dependent Claim(s), if any</td> <td>\$280.00 =</td> <td></td> </tr> <tr> <td colspan="3" style="text-align: right;">TOTAL:</td> <td></td> </tr> <tr> <td colspan="3" style="text-align: right;">SMALL ENTITY DISCOUNT:</td> <td></td> </tr> <tr> <td colspan="3" style="text-align: right;">SUBTOTAL (1)</td> <td>(\$ 0.00)</td> </tr> </tbody> </table>				Large Entity Fee (\$)	Fee Description	Fee Paid	750	Utility filing fee		330	Design filing fee		160	Provisional filing fee		Number Filed	Number Extra	Rate	Amount	Total Claims - 20 =		x \$ 18.00 =		Independent Claims - 3 =		x \$ 84.00 =		<input type="checkbox"/> Multiple Dependent Claim(s), if any		\$280.00 =		TOTAL:				SMALL ENTITY DISCOUNT:				SUBTOTAL (1)			(\$ 0.00)	SUBTOTAL (1) 0.00 SUBTOTAL (2) 0.00 SUBTOTAL (3) 180.00 TOTAL (\$ 180.00)																																															
Large Entity Fee (\$)	Fee Description	Fee Paid																																																																																									
750	Utility filing fee																																																																																										
330	Design filing fee																																																																																										
160	Provisional filing fee																																																																																										
Number Filed	Number Extra	Rate	Amount																																																																																								
Total Claims - 20 =		x \$ 18.00 =																																																																																									
Independent Claims - 3 =		x \$ 84.00 =																																																																																									
<input type="checkbox"/> Multiple Dependent Claim(s), if any		\$280.00 =																																																																																									
TOTAL:																																																																																											
SMALL ENTITY DISCOUNT:																																																																																											
SUBTOTAL (1)			(\$ 0.00)																																																																																								
2. AMENDMENT CLAIM FEES <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;">Claims Remaining After Amend.</th> <th style="text-align: left;">Highest No. Previously Paid For</th> <th style="text-align: left;">Present Extra</th> <th style="text-align: left;">Rate</th> <th style="text-align: left;">Fee Paid</th> </tr> </thead> <tbody> <tr> <td>Total -</td> <td>=</td> <td></td> <td>x \$ 18.00 =</td> <td></td> </tr> <tr> <td>Indep. -</td> <td>=</td> <td></td> <td>x \$ 84.00 =</td> <td></td> </tr> <tr> <td colspan="2"><input type="checkbox"/> First Presentation of Multiple Dep. Claim</td> <td></td> <td>+ \$280.00 =</td> <td></td> </tr> <tr> <td colspan="3" style="text-align: right;">TOTAL:</td> <td></td> <td>(\$)</td> </tr> <tr> <td colspan="3" style="text-align: right;">SMALL ENTITY DISCOUNT:</td> <td></td> <td>(\$)</td> </tr> <tr> <td colspan="3" style="text-align: right;">SUBTOTAL (2)</td> <td></td> <td>(\$ 0.00)</td> </tr> </tbody> </table>				Claims Remaining After Amend.	Highest No. Previously Paid For	Present Extra	Rate	Fee Paid	Total -	=		x \$ 18.00 =		Indep. -	=		x \$ 84.00 =		<input type="checkbox"/> First Presentation of Multiple Dep. Claim			+ \$280.00 =		TOTAL:				(\$)	SMALL ENTITY DISCOUNT:				(\$)	SUBTOTAL (2)				(\$ 0.00)																																																					
Claims Remaining After Amend.	Highest No. Previously Paid For	Present Extra	Rate	Fee Paid																																																																																							
Total -	=		x \$ 18.00 =																																																																																								
Indep. -	=		x \$ 84.00 =																																																																																								
<input type="checkbox"/> First Presentation of Multiple Dep. Claim			+ \$280.00 =																																																																																								
TOTAL:				(\$)																																																																																							
SMALL ENTITY DISCOUNT:				(\$)																																																																																							
SUBTOTAL (2)				(\$ 0.00)																																																																																							
CORRESPONDENCE ADDRESS				SIGNATURE BLOCK																																																																																							
Direct all correspondence to: Patent Administrator Testa, Hurwitz & Thibault, LLP High Street Tower-125 High Street Boston, MA 02110 Tel. No.: (617) 248-7000 Fax No.: (617) 248-7100				Respectfully submitted,  Date: August 21, 2003 Reg. No.: 44,381 Tel. No.: (617) 310-8327 Fax No.: (617) 248-7100 Natasha C. Us Attorney for the Applicant Testa, Hurwitz & Thibault, LLP High Street Tower-125 High Street Boston, MA 02110																																																																																							



PATENT
Attorney Docket No. ASC-023DVC2

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT(S): Fitzgerald
SERIAL NO.: 10/022,689 GROUP NO.: 2813
FILING DATE: December 17, 2001 EXAMINER: Laura M. Schillinger
TITLE: CONTROLLING THREADING DISLOCATION DENSITIES IN GE
ON SI USING GRADED GESI LAYERS AND PLANARIZATION

CERTIFICATE OF FIRST CLASS MAILING UNDER 37 C.F.R. 1.8

I hereby certify that this correspondence, and any document(s) referred to as enclosed herein, is/are being deposited with the United States Postal Service as first class mail, postage prepaid, in an envelope addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on this 21st day of August, 2003.

Olivia J. Mannion
Olivia J. Mannion

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Submitted herewith are: Transmittal Form (1 page); Fee Transmittal (1 page); Supplemental Information Disclosure Statement (2 pages); Form PTO-1449 (1 page); References Labeled A117 to A120; Check in the Amount of \$180.00; and a return receipt postcard.

VER 9/00
2672631-1

RECEIVED
AUG 29 2003
PTO 2800 MAIL ROOM



PATENT
Attorney Docket No. ASC-023DVC2

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANTS: Fitzgerald
SERIAL NO.: 10/022,689 GROUP NO.: 2813
FILING DATE: December 17, 2001 EXAMINER: Laura M. Schillinger
TITLE: CONTROLLING THREADING DISLOCATION DENSITIES IN GE
ON SI USING GRADED GESI LAYERS AND PLANARIZATION

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with the provisions of 37 C.F.R. 1.97 and 1.98, Applicants hereby make of record the patents and publications listed on the accompanying Form PTO-1449, and other information contained herein, for consideration by the Examiner in connection with the examination of the above-identified patent application. Copies of the patents and publications are enclosed.

REMARKS

In accordance with the provisions of 37 C.F.R. 1.97, this statement is being filed (CHECK ONE):

- ☐ (1) within three (3) months of the **filing date** of a national application other than a continued prosecution application under 37 C.F.R. 1.53(d), or within three (3) months of the **date of entry of the national stage** as set forth in 37 C.F.R. 1.491 in an international application, or before the mailing of the **first Office action** on the merits, or before the mailing of a **first Office action** after the filing of a request for continued examination under 37 C.F.R. 1.114; or
- ☒ (2) after the period defined in (1) but before the mailing date of a **final action** or a **notice of allowance** under 37 C.F.R. 1.311, and
- ☐ the requisite Statement is below, **OR**
- ☒ the requisite fee under 37 C.F.R. 1.17(p), namely **\$180.00**, is included herein, or

08/27/2003 KBETEMAI 00000017 10022689

01 FC:1806

180.00 OP

RECEIVED
AUG 29 2003
PTO MAIL ROOM

- ☐ (3) after the mailing date of a **final action** or **notice of all wance** but before the payment of the **issue fee**, **AND**
- ☐ the requisite Statement is below, **AND**
- ☐ the requisite petition fee under 37 C.F.R. 1.17(p), namely **\$180.00** is included herein.


It is respectfully requested that each of the patents and publications listed on the attached Form PTO-1449, and other information contained herein, be made of record in this application.

Respectfully submitted,

Date: August 21, 2003
Reg. No. 44,381

Tel. No.: (617) 310-8327
Fax No.: (617) 248-7100

VER 12/00
2672625-1



Natasha C. Us
Attorney for the Applicant
Testa, Hurwitz, & Thibault, LLP
High Street Tower
125 High Street
Boston, Massachusetts 02110



FORM PTO - 1449					ATTY DOCKET NO.: ASC-023DVC2				
SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT					APPLICANT: Fitzgerald				
					SERIAL NO.: 10/022,689				
					FILING DATE: December 17, 2001				
					GROUP: 2813				
U.S. PATENT DOCUMENTS									
EXAM. INIT.		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE		
	A117	5,424,243	06/13/1995	Takasaki					
	A118	2002/0052084	05/02/2002	Fitzgerald			05/16/2001		
	A119	2003/0077867	04/24/2003	Fitzgerald			07/16/2001		
	A120	6,602,613	08/05/2003	Fitzgerald			01/17/2001		
FOREIGN PATENT DOCUMENTS									
EXAM. INIT.		DOCUMENT NUMBER	DATE	COUNTRY CODE	CLASS	SUB CLASS	FILING DATE	ABSTRACT ONLY	ENGLISH LANG (Y/N)
OTHER ART, JOURNAL ARTICLES, ETC.									
EXAM. INIT.	OTHER DOCUMENTS: (Including Author, Title, Date, Relevant Pages, Place of Publication)								
EXAMINER					DATE CONSIDERED				

RECEIVED
AUG 29 2003
TID 2800 MAIL ROOM